



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of:  
**John C. Harvey and James W. Cuddihy:**

Serial No.: 08/448,644

Filed: May 24, 1995

For: **SIGNAL PROCESSING APPARATUS  
AND METHODS**

Group Art Unit: 2699

Examiner: FAILE, A.

Atty. Docket: 05634.0163

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**TRANSMITTAL LETTER**

Assistant Commissioner of Patents  
Washington, D.C. 20231

- ☒ Information Disclosure Statement;  
☒ PTO FORM 1449;  
☐ A fee of \$180.00 is required, and is calculated as shown below:

|  | (Col 1)                             |       | (Col 2)                               | (Col 3)       |             |                |
|--|-------------------------------------|-------|---------------------------------------|---------------|-------------|----------------|
|  | Claims Remaining<br>After Amendment |       | Highest No.<br>Previously Paid<br>for | Present Extra | Rate        | Additional Fee |
| Total                                  | *                                   | Minus | **                                    | =0            | x \$ 18.00  | \$0.00         |
| Indep.                                 | *                                   | Minus | ***                                   | =0            | x \$ 78.00  | \$0.00         |
| First Presentation of Mult. Dep. Claim |                                     |       |                                       |               | x \$ 260.00 | \$0.00         |
| Fee under 37 C.F.R. § 1.17(p).         |                                     |       |                                       |               |             | \$0.00         |
| <b>Total Fee Enclosed</b>              |                                     |       |                                       |               |             | <b>\$0.00</b>  |

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.  
\*\* If the "Highest Number Previously Paid For" in this space is less than 20, write "20" in this space.  
\*\*\* If the "Highest Number Previously Paid For" in this space is less than 3, write "3" in this space. "The Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

- ☐ **HUNTON & WILLIAMS** check no. \_\_\_\_\_ in the amount of \$180.00 is enclosed.  
☒ The Commissioner is hereby authorized to charge any additional fees, or credit any overpayment to Deposit Account No. 50-0206.  
☒ Any filing fees under 37 CFR 1.16 for the presentation of extra claims.  
☒ Any patent application processing fees under 37 CFR 1.17.

Date: March 19, 2002  
**HUNTON & WILLIAMS**  
1900 K Street, N.W.  
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Respectfully submitted,

Thomas J. Scott, Jr.  
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#34  
5-2-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : John C. Harvey and  
James W. Cuddihy

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**Box: NON-FEE AMENDMENT**

Commissioner for Patents  
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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicants respectfully request consideration of the references listed on the attached Form PTO-1449.

Applicants respectfully request that the Examiner consider the references cited on the PTO-1449 and that the Examiner indicate that the references have been considered in this application by returning a copy of the Form PTO-1449 with the Examiner's initials in the left column per M.P.E.P. § 609.

**I. Description of the References**

The references identified in this Supplemental Information Disclosure Statement ("Supplemental IDS") can be grouped into two categories. *First*, applicants have identified in this Supplemental IDS references made of record in applicants' related applications that have not previously been made of record in the instant case.



*Second*, this Supplemental IDS identifies two new references that have not previously been identified in this application or any other related applications to date. These two new references are Japanese references that came to applicants' attention during the prosecution of applicants' applications pending in Japan. These new references are: JP 59-224988 and JP 61-174889.

## **II. Description of Corrections**

In the course of preparing this Supplemental IDS applicants identified a number of miscellaneous inadvertent clerical errors contained in previously filed information disclosure statements. Applicants have corrected any such inadvertent errors with respect to references that are identified in this Supplemental IDS. With respect to inadvertent errors that occurred in information disclosure statements previously filed in this application applicants' identify and correct such inadvertent errors as follows:

- In the May 11, 2001 Information Disclosure Statement, the foreign patent reference previously identified as JP 59-50134 is correctly identified as JP 59-501340. Also in the May 11, 2001 Information Disclosure Statement, the foreign patent reference FR 79-03351 identifies the French application number. The correct identification of this reference is publication number FR 2,417,226.
- With respect to foreign patent references in various information disclosure statements, information regarding the publication dates of these references may not have been supplied or may have been incorrectly identified. Additionally, applicants made inadvertent errors with respect to the provision of translations for certain foreign language references. A

corrected complete list of all foreign references made of record in applicants' related pending applications is identified in Appendix A.

- In the concise explanation previously provided for foreign reference DE 2,338,330, this reference was misidentified. The correct patent number for this German reference is DE 2,338,380.

### **III. Concise Explanations of Foreign Language References**

Applicants unintentionally may not have provided concise explanations for certain previously identified foreign language references. Concise explanations for these references are provided in Appendix B. Additionally, in Appendix B applicants provide concise explanations for the two new Japanese references cited for the first time in this Supplemental IDS.

Applicants' submission of Appendix B meets the requirements regarding a concise explanation of foreign references as set forth in 37 CFR 1.98 and M.P.E.P. § 609.

### **IV. Conclusion**

Pursuant to an agreement reached between the Examiner and applicants (see first Office Action issued in this application), applicants are not submitting copies of the references cited in this Supplemental IDS where applicants have previously provided copies of all of the references cited herein in related applications. Applicants are presently providing newly acquired translations of three Japanese patent applications, 58-99817, 56-84340 and 58-29020 in applicants' application number 08/113,329, pursuant to the same agreement mentioned above.

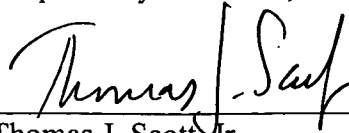
This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No statement under 37 C.F.R. § 1.97(e) or fee is required. 37 C.F.R. § 1.97(b).

Any deficiency in or overpayment of this fee should be charged or credited to

Deposit Account No. 50-0206.

Date: March 19, 2002  
**HUNTON & WILLIAMS**  
1900 K Street, N.W.  
Washington, DC 20006

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Thomas J. Scott, Jr.", written over a horizontal line.

Thomas J. Scott, Jr.

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**APPENDIX A**

**FOREIGN PATENT DOCUMENTS**

| DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY       | CLASS/<br>SUBCLASS | TRANSLATION<br>NO | YES |
|--------------------|---------------------|---------------|--------------------|-------------------|-----|
| 20,242             | 12/10/80            | EPO           | G09G 1/16          | X                 |     |
| 46,108             | 02/17/82            | EPO           | H04N 5/76          | X                 |     |
| 49,184             | 04/07/82            | EPO           | G09B 7/08          | X                 |     |
| 53,984**           |                     | Japan         |                    | X                 |     |
| 55,167             | 06/30/82            | EPO           | G09G 1/16          | X                 |     |
| 55,674             | 07/07/82            | EPO           | 07/07/82           |                   |     |
| 56,649             | 07/28/82            | EPO           | H04N 5/44          |                   |     |
| 481,565            | 04/29/76            | Australia     |                    |                   |     |
| 77,712             | 04/27/83            | EPO           | H04N 7/00          | X                 |     |
| 78,185             | 05/04/83            | EPO           | H04N 7/00          | X                 |     |
| 103,438            | 03/21/84            | EPO           | H04N 7/10          |                   |     |
| 128,481            | 12/19/84            | EPO           | H04N 7/00          |                   |     |
| 132,007            | 01/23/85            | EPO           | H04N 7/16          |                   |     |
| 133,985            | 03/13/85            | EPO           | H 04 N 7/087       |                   |     |
| 152,251            | 08/21/85            | EPO           | H04H 1/2           |                   |     |
| 187,417            | 07/16/86            | EPO           | H04 N 7/087        |                   |     |
| 206,821            | 12/30/86            | EPO           | H04N 7/00          |                   |     |
| 217,308            | 04/08/87            | EPO           | H04M 11/00         |                   |     |
| 857,862            | 1/4/61              | Great Britain | 40 (1)             |                   |     |
| 959,274            | 05/27/64            | Great Britain |                    |                   |     |
| 1,066,931          | 04/26/67            | Great Britain | G 07c              |                   |     |
| 1,189,612          | 06/25/85            | Canada        | Ho4n 7/08          |                   |     |
| 1,204,190          | 09/03/70            | Great Britain |                    |                   |     |
| 1,213,357          | 11/25/70            | Great Britain |                    |                   |     |
| 1,216,977          | 01/20/87            | Canada        | H04M 11/00         |                   |     |
| 1,370,535          | 10/16/74            | Great Britain | GO9G1/16           |                   |     |
| 1,396,981          | 06/11/75            | Great Britain | H04H 1/00          |                   |     |
| 1,515,309          | 06/21/78            | Great Britain | G06 K 15/20        |                   |     |
| 1,523,307          | 08/31/78            | Great Britain | H03K 5/08          |                   |     |
| 1,543,502          | 04/04/79            | Great Britain | G08B9/00           |                   |     |
| 1,554,411          | 10/17/79            | Great Britain | H04b 3/54          |                   |     |
| 1,556,366          | 11/21/79            | Great Britain |                    |                   |     |
| 1,582,563          | 01/14/81            | Great Britain | G08B9/00           |                   |     |
| 1,584,111          | 02/04/81            | Great Britain | G08B9/00           |                   |     |
| 2,016,874          | 02/01/79            | Great Britain |                    |                   |     |
| 2,033,699          | 05/21/80            | Great Britain | H04L 1/10, 1/40    |                   |     |
| 2,034,995          | 06/11/80            | Great Britain | H03J 7/18, 5/00    |                   |     |

| DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY       | CLASS/<br>SUBCLASS | TRANSLATION<br>NO | YES |
|--------------------|---------------------|---------------|--------------------|-------------------|-----|
| 2,051,527          | 01/14/81            | Great Britain | G06F 3/153         |                   |     |
| 2,058,681          | 06/15/72            | Germany       | H04N 7/08          | X                 |     |
| 2,067,379          | 07/22/81            | Great Britain | H04L 1/24          |                   |     |
| 2,081,948          | 02/24/82            | Great Britain | H04Q 9/00          |                   |     |
| 2,090,504          | 07/07/82            | Great Britain | H04N 3/16          |                   |     |
| 2,103,455          | 02/16/83            | Great Britain | H04N 1/00 7/12     |                   |     |
| 2,126,002          | 03/14/84            | Great Britain | G11B 15/02         |                   |     |
| 2,140,963          | 12/05/84            | Great Britain |                    |                   |     |
| 2,141,897          | 01/03/85            | Great Britain | H04N 7/16          |                   |     |
| 2,164,229          | 03/12/86            | Great Britain |                    |                   |     |
| 2,167,917          | 06/04/86            | Great Britain |                    |                   |     |
| 2,185,670          | 07/22/87            | Great Britain | H04N 7/087         |                   |     |
| 2,338,380          | 02/13/75            | Germany       |                    | X                 |     |
| 2,356,969          | 05/22/75            | Germany       |                    |                   | X   |
| 2,417,226          | 02/01/79            | France        |                    | X                 |     |
| 2,453,441          | 05/13/76            | Germany       | H04L 9/00          | X                 |     |
| 2,496,376          | 06/18/82            | France        | H04N 7/00          | X                 |     |
| 2,516,733          | 05/05/83            | France        | H04N 7/00          | X                 |     |
| 2,550,624          | 05/26/77            | Germany       |                    | X                 |     |
| 2,823,175          | 11/29/79            | Germany       | G06F 3/12          | X                 |     |
| 2,831,014          | 04/03/80            | Germany       |                    | X                 |     |
| 2,853,764          | 01/29/81            | Germany       |                    | X                 |     |
| 2,904,891          | 08/16/79            | Germany       |                    |                   | X   |
| 2,918,846          | 11/13/80            | Germany       | F26B 12/02         |                   | X   |
| 3,020,787          | 12/17/81            | Germany       | H04N 7/08          | X                 |     |
| 3,039,949          | 05/06/82            | Germany       | H04M 3/42          | X                 |     |
| 3,112,249          | 10/07/82            | Germany       | G09G 1/28          | X                 |     |
| 3,143,627          | 05/11/83            | Germany       |                    |                   | X   |
| 3,337,204          | 04/25/85            | Germany       | H04N 5/44          | X                 |     |
| 53-068124          | 06/17/78            | Japan         |                    |                   | X   |
| 53-11515           | 02/02/78            | Japan         |                    | X                 |     |
| 53-121420          | 10/23/78            | Japan         |                    | X                 |     |
| 55-028691          | 02/29/80            | Japan         |                    |                   | X   |
| 55-26792           | 02/26/80            | Japan         |                    | X                 |     |
| 55-49084           | 04/08/80            | Japan         |                    |                   | X   |
| 55-500886          | 10/30/80            | Japan         |                    | X                 |     |
| 55-79585           | 06/16/80            | Japan         |                    | X                 |     |
| 56-47179           | 04/28/81            | Japan         |                    |                   | X   |
| 56-51161           | 05/08/81            | Japan         |                    |                   | X   |
| 57-199377          | 12/07/82            | Japan         |                    |                   | X   |
| 58-156279          | 09/17/83            | Japan         |                    | X                 |     |

| DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY   | CLASS/<br>SUBCLASS | TRANSLATION<br>NO | YES |
|--------------------|---------------------|-----------|--------------------|-------------------|-----|
| 58-209276          | 12/06/83            | Japan     |                    |                   | X   |
| 59-154886          | 09/03/84            | Japan     |                    |                   | X   |
| 59-160387          | 09/11/84            | Japan     | H04N 7/10          |                   | X   |
| 59-224988          | 12/17/84            | Japan     |                    |                   | X   |
| 59-501340          | 03/23/84            | Japan     |                    | X                 |     |
| 60-123182          | 07/01/85            | Japan     |                    |                   | X   |
| 60-146587          | 08/02/85            | Japan     |                    | X                 |     |
| 60-149281          | 08/06/85            | Japan     |                    | X                 |     |
| 60-256289          | 12/17/85            | Japan     | H04N 7/173         |                   | X   |
| 60-61935           | 04/09/85            | Japan     | G11B15/02          | X                 |     |
| 61-148988          | 07/07/86            | Japan     | H04N 7/173         |                   | X   |
| 61-174889          | 08/06/86            | Japan     |                    | X                 |     |
| 61-20441           | 01/29/86            | Japan     |                    | X                 |     |
| 61-267474          | 11/27/86            | Japan     |                    | X                 |     |
| 61-50470           | 03/12/86            | Japan     | H04N 5/44          | X                 |     |
| PL 204,525         | 02/09/78            | Poland    |                    | X                 |     |
| WO 80/00292        | 02/21/80            | PCT Appl. | H04N9/16           | X                 |     |
| WO 80/02093        | 10/02/80            | PCT Appl. | H04B 1/20          |                   |     |
| WO 80/02901        | 12/24/80            | PCT Appl. | H04N 7/16          | X                 |     |
| WO 81/02961        | 10/15/81            | PCT Appl. | H04N 7/16, 7/04    |                   |     |
| WO 83/00789        | 03/03/83            | PCT Appl. | H04N 7/08          | X                 |     |
| WO 85/03604        | 08/15/85            | PCT Appl. | H03K 3/84          |                   |     |
| WO 85/03830        | 08/29/85            | PCT Appl. | H04N 7/16          |                   |     |
| WO 87/04884        | 08/13/87            | PCT Appl. | H04M 11/08         |                   |     |

\*\* Japanese reference 53,984 to Jinno was cited by the Examiner in Application No. 08/470,447. The Examiner did not supply a publication date and applicants have been unable to determine a publication date for this reference.



**APPENDIX B**

**Concise Explanations for Foreign References**

**JP 61-174889            August 6, 1986            Japan**

Foreign language patent JP 61-174889 came to applicants' attention during the prosecution of applicants' applications pending in Japan.

**FR 2,417,226            February 1, 1979            France**  
**PL 204,525            February 9, 1978            Poland**

The French reference 2,417,226 and Polish reference PL 204,525 are both applications filed by Zaboklicki. The PTO has cited the German application filed by Zaboklicki which claims priority to the Polish Zaboklicki application. Translations of the German Zaboklicki application have been provided to the Examiner.

**DE 2,831,014            April 3, 1980            Germany**

The German reference DE 2,831,014 was applied by the Examiner in the September 4, 2001 Office Action in Application No. 08/487,526.

**JP 55-26792            February 26, 1980            Japan**

The Japanese reference JP 55-26792 was applied by the Examiner in the August 27, 2001 Office Action in Application No. 08/470,571.

**WO 80/02901            December 24, 1980            France**

The WO 80/02901 reference discloses a television system with a double key encryption service for subscription television.

**DE 3,337,204            April 3, 1980            Germany**

German reference DE 3,337,204 discloses a viewer interactive program schedule.

The following Japanese references were identified on applicants' on May 11, 2001 IDS, but explanations were unintentionally not provided. All of these applications came to applicants' attention during the prosecution of applicants' applications pending in Japan.

|                     |                          |              |
|---------------------|--------------------------|--------------|
| <b>JP 53-11515</b>  | <b>February 2, 1978</b>  | <b>Japan</b> |
| <b>JP 53-121420</b> | <b>October 23, 1978</b>  | <b>Japan</b> |
| <b>JP 55-500886</b> | <b>October 30, 1980</b>  | <b>Japan</b> |
| <b>JP 59-501340</b> | <b>March 23, 1984</b>    | <b>Japan</b> |
| <b>JP 60-146587</b> | <b>September 2, 1985</b> | <b>Japan</b> |
| <b>JP 61-20441</b>  | <b>January 29, 1986</b>  | <b>Japan</b> |
| <b>JP 61-267474</b> | <b>November 27, 1986</b> | <b>Japan</b> |

The following references were cited on PTO form 892 by the Examiners in applicants related pending applications.

|                     |                           |              |
|---------------------|---------------------------|--------------|
| <b>JP 58-156279</b> | <b>September 17, 1983</b> | <b>Japan</b> |
| <b>JP 55-79585</b>  | <b>June 16, 1980</b>      | <b>Japan</b> |

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

CITATION FORM

Attorney Docket No.

05634.0163

Serial No.

08/448,644

Applicant(s)

John C. Harvey and James W. Cuddihy

Filing Date

May 24, 1995

Group Art Unit

2699

UNITED STATES PATENT DOCUMENTS

| EXAMINER<br>INITIAL | PATENT<br>NUMBER | PATENT<br>DATE | NAME                | CLASS/<br>SUBCLASS | FILING<br>DATE* |
|---------------------|------------------|----------------|---------------------|--------------------|-----------------|
|                     | 1,992,271        | 02/26/35       | Williams            |                    | 09/17/31        |
|                     | 2,046,381        | 07/07/36       | Hicks et al.        | 12/10/30           |                 |
|                     | 2,192,217        | 03/05/40       | Bellamy, et al.     | 07/15/29           |                 |
|                     | 2,217,881        | 10/15/40       | Allen               |                    | 02/18/32        |
|                     | 2,236,077        | 03/25/41       | Smith               |                    | 05/29/30        |
|                     | 2,264,563        | 12/02/41       | Bumstead            |                    | 01/02/32        |
|                     | 2,570,209        | 10/09/51       | Cotsworth, III      | 05/01/48           |                 |
|                     | 2,855,993        | 10/14/58       | Rahmel              | 358/84             | 03/19/54        |
|                     | 2,995,624        | 08/08/61       | Watters             |                    | 03/11/59        |
|                     | 3,011,153        | 11/28/61       | Haselton et al.     | 05/23/56           |                 |
|                     | 3,029,308        | 04/10/62       | Adler et al.        | 09/22/58           |                 |
|                     | 3,082,402        | 03/19/63       | Scantlin            |                    | 05/10/60        |
|                     | 3,366,731        | 01/30/68       | Wallerstein         | 08/11/67           |                 |
|                     | 3,612,752        | 10/12/71       | Banning, Jr.        | 178/5.1            | 06/22/66        |
|                     | 3,764,983        | 10/09/73       | Stok                | 340/150            | 05/03/72        |
|                     | 3,778,058        | 12/11/73       | Rausch              | 463/3              | 06/17/71        |
|                     | 3,778,721        | 12/11/73       | Moran               | 325/396            | 09/08/72        |
|                     | 4,035,838        | 07/12/77       | Bassani et al.      | 358/86             | 03/16/76        |
|                     | 4,059,729        | 11/22/77       | Eddy et al.         | 179/15 BF          | 06/09/76        |
|                     | 4,061,879        | 12/06/77       | Wintzer             | 179/15 BA          | 09/29/75        |
|                     | 4,135,156        | 01/16/79       | Sanders, Jr. et al. | 325/4              | 06/20/74        |
|                     | 4,162,483        | 07/24/79       | Entenman            | 340/147 R          | 04/01/77        |
|                     | 4,199,791        | 04/22/80       | Corey               | 360/69             | 04/17/78        |
|                     | 4,225,918        | 09/30/80       | Beadle et al.       | 364/200            | 03/09/77        |
|                     | 4,319,353        | 03/09/82       | Alvarez, III et al. | 370/104            | 02/29/80        |
|                     | 4,365,249        | 12/21/82       | Tabata              | 340/825.3          | 09/29/80        |
|                     | 4,380,027        | 04/12/83       | Leventer et al.     | 358/147            | 12/08/80        |
|                     | 4,383,273        | 05/10/83       | Lunn                | 348/725            | 12/29/80        |
|                     | 4,386,416        | 05/31/83       | Giltner et al.      | 364/900            | 06/02/80        |
|                     | 4,402,009        | 08/30/83       | Rathjens et al.     | 358/125            | 04/08/81        |
|                     | 4,426,698        | 01/17/84       | Pargee, Jr.         | 371/37             | 08/24/81        |
|                     | 4,495,623        | 01/22/85       | George et al.       | 371/38             | 09/02/82        |
|                     | 4,532,540        | 07/30/85       | Wine                | 358/12             | 03/28/83        |
|                     | 4,644,396        | 02/17/87       | Iwasaki             | 380/6              | 05/24/85        |
|                     | 4,825,050        | 04/25/89       | Griffith et al.     | 235/379            | 09/13/83        |
|                     | Re. 33,808       | 01/28/92       | Wright, Jr.         | 358/86             | 08/28/85        |

\* If Pertinent

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /MM/



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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY       | CLASS/<br>SUBCLASS | TRANSLATION<br>NO | YES |
|---------------------|--------------------|---------------------|---------------|--------------------|-------------------|-----|
|                     | 1,204,190          | 09/03/70            | Great Britain |                    |                   |     |
|                     | 1,213,357          | 11/25/70            | Great Britain |                    |                   |     |
|                     | 2,164,229          | 03/12/86            | Great Britain |                    |                   |     |
|                     | 2,167,917          | 06/04/86            | Great Britain |                    |                   |     |
|                     | 2,356,969          | 05/22/75            | Germany       |                    |                   | X   |
|                     | 2,831,014          | 04/03/80            | Germany       |                    | X                 |     |
|                     | 53-068124          | 06/17/78            | Japan         |                    | X                 |     |
|                     | 55-26792           | 02/26/80            | Japan         |                    | X                 |     |
|                     | 55-49084           | 04/08/80            | Japan         |                    |                   | X   |
|                     | 55-79585           | 06/16/80            | Japan         |                    | X                 |     |
|                     | 58-156279          | 09/17/83            | Japan         |                    | X                 |     |
|                     | 58-209276          | 12/06/83            | Japan         |                    |                   | X   |
|                     | 59-224988          | 12/17/84            | Japan         |                    |                   | X   |
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